

**DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING**

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

DIVISION OF EMPLOYMENT AND TRAINING

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The


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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

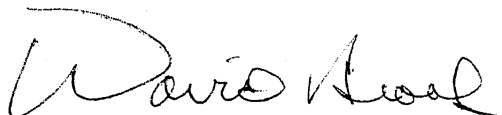
APPROVAL RECOMMENDED



Mac Ellis, Chief Records Officer
Department of Commerce

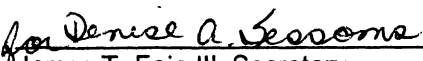


Alan H. Alexander, Director
Division of Employment and Training




David Brook, Director
Division of Historical Resources

APPROVED



James T. Fain III, Secretary
Department of Commerce



Lisbeth C. Evans, Secretary
Department of Cultural Resources

August, 27, 2004

CSB

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
ADMINISTRATION SECTION

Item 27079. PUBLIC INFORMATION FILE. Records concerning events of the Division of Employment and Training. File includes photographs, slides, and records regarding summer youth programs and conferences. (Records are no longer being created.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records transferred to the State Records Center. Transfer records currently held in the State Records Center to the custody of the Archives immediately.

Item 27080. LOCAL AREAS (LA) AND SUB-GRANTEES CENTRAL FILE. Records concerning Local Areas and Sub-Grantees (Local Areas are a geographical area comprised of one to 10 counties that deliver programs to its sub-grantees, an appointed administrative entity that handles all monies for that Local Area). File includes correspondence, agreements, monitoring reports, workforce development boards information and plans, financial information, job training plans with modifications and adjustments, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after date on which the annual expenditure report containing final expenditures charged to the program year's allotment is submitted to the U.S. Department of Labor if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 27104. DIVISION DIRECTOR'S CORRESPONDENCE FILE. Records in paper and electronic formats concerning correspondence and memorandums written to and received from the division director, directors within the division, other national, state, and local agencies, and associations concerning the administration and management of the division. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic records when administrative value ends. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
DISLOCATED WORKER SECTION

Item 27114. WORKER ADJUSTMENT RETRAINING NOTIFICATION (WARN) ACT FILE. Official notification letters received from companies or businesses concerning plant closings and layoffs.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 45832. NATIONAL AND NATURAL EMERGENCY GRANTS (NEG) FILE. Records in paper and electronic formats concerning national and natural emergency grants which provide supplemental funds to dislocated workers and communities affected by major economic dislocations and other worker dislocation events, and natural disasters. File includes grant applications, correspondence, participant's quarterly enrollment reports, quarterly expenditures reports, reports received from local areas and other related records. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic records when reference value ends. Retain paper records in office permanently.

Item 45833. WORKER ADJUSTMENT RETRAINING NOTIFICATION (WARN) LOG BOOKS FILE. Log books listing individual plant closings and layoffs. Logs also include date of closing, contact person, demographic data, layoff, number affected, effective dates, date and time of rapid response meetings, and other related data.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 45884. NATIONAL EMERGENCY GRANTS (NEG) FILE. Records concerning Natural Emergency Grants. Files include grant application documents and modifications to the grant, grant agreements, correspondence received from the U.S. Department of Labor, reports received from local areas impacted by grant, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to NATIONAL AND NATURAL EMERGENCY GRANTS (NEG) FILE (Item No. 45832).

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
FIELD SERVICES SECTION

Item 27081. AUDITS/AUDIT RESOLUTIONS FILE. Records in paper and electronic formats concerning independent audit reports and audit resolutions received from each sub-grantee and Local Area. File includes correspondence, audit reports, audit compliance letters sent to sub-grantees, directors, and local areas, and other related records. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy all records 3 years after sub-grantee submits last expenditure report for the program year if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 27082. METHODS OF ADMINISTRATION (MOA) FILE. Records in paper and electronic formats concerning nondiscrimination or equal opportunity standards for sub-grantees and Local Areas. File includes copies of nondiscrimination/equal opportunity policies and procedures, and grievances and complaints procedures. File also includes copies of complaints and appeals and their dispositions. (Comply with applicable provisions of the, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Protection Act of 1998 (WIA)" *Code of Federal Regulations* Title 29, Pt. 37, 1998 ed.) (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic records at the same time as related paper records. Destroy in office standards, policies and procedures, and grievance and complaints procedures when superseded or obsolete. Destroy in office complaints, appeals, and dispositions 3 years after completion of action if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office remaining records after 3 years.

Item 27084. MONITORING AND TECHNICAL ASSISTANCE FILE. Records in paper and electronic formats concerning monitoring and technical assistance provided to sub-grantees and Local Areas by field services staff. File includes correspondence, memorandums, financial and programmatic monitoring reports, and other related records. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office paper and electronic records 3 years after date on which the annual expenditure report containing final expenditures charged to the program year's allotment is submitted to the U.S. Department of Labor if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 45877. AUDIT LETTERS FILE. Records in electronic format concerning audit compliance letters sent to sub-grantees, directors, and local areas. (File maintenance and backup procedures are conducted by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Audits/Audit Resolutions File (Item No. 27081).

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
MANAGEMENT INFORMATION SYSTEMS/FINANCE SECTION

Item 45878. WORKFORCE INVESTMENT ACT (WIA) FINANCIAL MANAGEMENT INFORMATION SYSTEMS FILE. Electronic records concerning grant allocation financial reporting and cash requests for sub-recipients and local areas. Electronic file includes grant amount and fund allocations. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Destroy electronic records in office 3 years after date on which the annual expenditure report containing final expenditures charged to the program year's allotment is submitted to the U.S. Department of Labor if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 45879. WORKFORCE INVESTMENT ACT (WIA) GRANT FILE. Records in paper and electronic formats concerning official notification sent to the state notifying them of the official award. Electronic file includes total grant amount, grant agreements, Notice of Fund Availability (NFA), and other related records. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print Notice of Fund Availability and transfer to Planning and Policy Development to be interfiled in Current Local Areas (LA) Plans Notebooks File, Item No. 45881. Destroy in office paper and electronic records 3 years after expiration of grant if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 45880. WORKFORCE PLUS CLIENT TRACKING SYSTEM (ELECTRONIC) FILE. Case Managers Tracking System (database) is used to record intervention and activity to clients served. Electronic file includes demographic data, client name, social security number, race, case notes, and other related data. Data is input from information gathered in the field by case managers. (File maintenance and backup procedures conducted daily by private vendor, currently Softscape Inc.). (Comply with applicable provisions of "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Government regarding retention and access," *Code of Federal Regulations*, Title 29, Part 97.42). (Comply with the Federal Freedom of Information Act (5 USC 552a) regarding collection, maintenance, use, and dissemination of personal information).

DISPOSITION INSTRUCTIONS: Use a remote hosting vendor to maintain electronic records for 3 years after submission of last expenditure report. If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
PLANNING AND POLICY DEVELOPMENT SECTION

Item 27101. COUNCILS AND COMMITTEES CORRESPONDENCE AND MINUTES FILE. Records concerning councils and committees of the division. File includes approved minutes of meetings. (Records are no longer being created.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records transferred to the State Records Center. Transfer records currently held in the State Records Center to the custody of the Archives immediately.

Item 27105. CURRENT LOCAL AREAS PLANNING INSTRUCTIONS FILE. Records in paper and electronic formats concerning Planning and Policy Development Local Area Plan and Modification Instructions policies transmitted through the Local Area Issuance structure. Once the local area plan is accepted it is filed in LOCAL AREAS (LA) PLANS AND MODIFICATIONS NOTEBOOKS FILE (Item 45888).

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office paper and electronic records 3 years after final closeout of the last program year covered by the plan and modification.

Item 27109. LOCAL AREAS (LA) ISSUANCES FILE. Records in paper and electronic formats concerning LA issuances. File includes issuance comments, correspondence, planning instructions and procedural requirements as these relate to the federal Workforce Investment Act (WIA) and the North Carolina Employment and Training Grant Program to Local Areas. File also includes incentive award letters and allocations to LA under the Workforce Investment Act (WIA). (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office paper and electronic records 3 years after the expiration and final closeout of the appropriate federal and state legislation.

Item 45881. CURRENT LOCAL AREAS (LA) PLANS NOTEBOOKS FILE. Records in paper and electronic formats concerning the administrative and programmatic structure of the Local Areas. File includes original plans, plan adjustments and modifications to the five-year plan, notice of funds availability, and correspondence. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office paper and electronic records 3 years after final closeout of the last program year covered by the plan and modification.

DEPARTMENT OF COMMERCE
EXECUTIVE DIRECTOR FOR POLICY AND EMPLOYMENT
DIVISION OF EMPLOYMENT AND TRAINING
PLANNING AND POLICY DEVELOPMENT SECTION

Item 45882. CURRENT STATE AGENCY WORKFORCE INVESTMENT ACT (WIA) PLANS FILE.

Records concerning funding given to state agencies. File includes plans submitted by state agencies to receive WIA funding. (The State Agency Plans describe administrative systems and operational procedures as well as the activities, services or functions that are being provided through grant funds.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after final closeout of the last program year covered by the plan if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has initiated, destroy in office after completion of action and resolution of issues involved.

Item 45886. STATE AND LOCAL MEMORANDUMS OF AGREEMENTS AND SUB/GRANT ADMINISTRATION AGREEMENTS FILE. Records concerning contracts between the state and local areas for Workforce Investment Act (WIA) grants.

DISPOSITION INSTRUCTIONS: Destroy in office records 3 years after final closeout of the last program year covered by the plan if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has initiated, destroy in office after completion of action and resolution of issues involved.

Item 45887. GRANTS AND CORRESPONDENCE FILE. Records in paper and electronic formats concerning Welfare to Work (WtW) grants and programs. File includes the State's Plan, correspondence, grant applications, approval of grants, copies of US Department of Labor (USDOL) signed grants, and other related records. (Records are no longer being created.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office paper and electronic records 3 years after final closeout of the grant if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 45888. LOCAL AREAS (LA) PLANS AND MODIFICATIONS NOTEBOOKS FILE. Records in paper and electronic formats concerning plans and modifications received from local areas detailing written strategies of Workforce Development Boards for administering the Welfare to Work program at the local area. Plans include area market conditions, resources and projected levels of service to participants, target population, potential employment opportunities and types of activities/services to be offered. Modifications include changes and amendments to the original plans. (File maintenance and backup procedures conducted daily by Management Information Systems (MIS).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic records after 3 years. Transfer remaining paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.